

## A METHOD AND SYSTEM FOR IDENTIFYING BOTTLENECKS IN A SECURITIES PROCESSING SYSTEM

### ABSTRACT OF THE DISCLOSURE

A system and method of assessing the ability of a securities processing system to implement automated processing of securities asset management functions within the securities processing system are disclosed. A computer-implemented, menu-driven application provides resources for managing a plurality of activities for assessing the ability of a securities processing system to apply straight through processing to securities transactions. Critical issues in 5 implementing the automated processing of securities asset management functions in the securities processing system are identified and captured on electronic documents. Process and technology performance information for the current state of the securities processing system is captured using computer-implemented templates to record human resource utilization, level of automation, and volume 10 data across a set of processes defined within the business and technology environments. This current process and technology performance information is 15 analyzed with respect to a desired future state for the securities processing system implementing automated processing of securities management functions and scored. Information is also gathered regarding systems external to and connected 20 to the securities processing system, such as business partner systems, vendor systems, and the industry-wide system. The ability of these external systems to implement automated processing of securities asset management functions is evaluated, and their potential impact on the securities processing system is 25 assessed. Recommendations for improving process and technology performance for the securities processing system are formulated and prioritized. Tasks associated with the prioritized recommendations are defined and included in an implementation plan. Progress on the tasks of the straight through processing implementation plan are assessed and monitored on an ongoing basis.